DESCRIBING ARCHIVES IN CONTEXT: A GUIDE TO AUSTRALASIAN PRACTICE

by the AUSTRALIAN SOCIETY
of ARCHIVISTS COMMITTEE
ON DESCRIPTIVE STANDARDS

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FOREWORD

It is the role of the Australian Society of Archivists' Descriptive Standards Committee to move the Australian archival community towards the use of standardised descriptive practices by developing and promoting suitable national and international standards.

As part of its role the Descriptive Standards Committee has prepared this document to explain a significant aspect of Australian archival descriptive practice, the Australian series system. This guide draws on the substantial body of knowledge and experience gained from a range of organisations that have implemented the series system over the past forty years.

Work commenced on drafting the guide in 2000/2001, with Kate Cumming of State Records New South Wales being the project leader and principal author of the early drafts. An exposure draft of the Guide was published on the Australian Society of Archivists' website in 2003, with comments being invited from all interested parties. These comments were considered by the Committee during 2004.

Membership of the ASA Committee during this project consisted of:

> Adrian Cunningham, National Archives of Australia, Convenor

> Barbara Reed, Recordkeeping Innovation Pty Ltd

> Professor Sue McKemmish, Monash University

> Tony Leviston, State Records New South Wales

> Paula Waring, National Library of Australia

> Chris Hurley, Commonwealth Bank of Australia

> Janine Delaney, Archives New Zealand

> Gavan McCarthy, University of Melbourne

> Joanne Evans, University of Melbourne/Monash University

1. INTRODUCTION

Overview

This chapter:

> introduces the series system, and

> outlines the scope and purpose of this guide.

Introduction to the series system

The series system is a method of describing records and their contexts of creation and management over time.

> The series system approach to record description has been used for almost forty years. During this period it has been implemented in the majority of Australian government archival organisations and has been adopted by a number of other organisations to serve a range of recordkeeping objectives. It has also been implemented in many international archival institutions.
>
> Fundamental to the system is the recording of links between registered records and context entities. Also fundamental to the system is an understanding that relationships between entities are contingent and time-bound, rather than fixed and timeless, and that the contingent nature of these relationships has to be accommodated and described in archival control systems.

What is unique about the series system?

The key feature of the series system, and that which distinguishes it from other methods of descriptive control, is its separation of record and contextual description. In practice this means that

> records

> the persons or organisations that create and manage them, and/or

> the business they describe

are each individually registered as separate descriptive entities. Each of these individual descriptions is then linked to enable a full and informative representation of records, their context and their administration through time.

Purpose of this guide

This guide explains the workings of the series system and recommends its implementation in order to:

- enable full and accurate description of records in archival environments
- increase standardisation of descriptive practice across Australia, and
- facilitate the sharing of archival data.

Scope of this guide

The series system framework can be used to provide a full range of recordkeeping functionality but it is the role of this guide to focus only on the series system's capacity as a method for archival description.

This guide draws on the substantial body of knowledge and experience gained from a range of organisations that have implemented the series system over the past forty years.

Because of the flexibility allowed within the series system structure, this guide does not prescribe a specific form of series system implementation but it does recommend a range of entities that could be used to implement series system description. It outlines one possible implementation of the series system and summarises:

- some of the descriptive entities that can be applied to implement the series system
- certain relationships that can exist between these entities, and
- some attributes (metadata elements) that can be used to describe entities and their relationships.

Note: These recommendations can be interpreted and implemented according to organisational needs.

The guide does not provide practical guidance on the identification and delineation of record series or how to identify an agency. These issues may be resolved by each archive implementing the series system according to its own needs and requirements. Archives are able to make their own or jurisdiction-specific decisions about the ways that the series system should be implemented and still operate within the framework of the series system.[1] However, if organisations wish to share archival data then standard definitions of entities and standard attribute descriptions will need to be determined and implemented consistently across the organisations seeking to share their data.

Remember: Seek out local guidance where appropriate

This document is an introduction to and overview of the components and workings of the series system. For those wishing to implement the series system this document should be read in conjunction with jurisdiction-specific guidance, such as that issued by local archival authorities.

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[1] For additional practical advice on implementing the series system, see the forthcoming Australian Society of Archivists publication, *Keeping Archives*, 3rd edition, planned for release in 2008.

2. DEVELOPMENT AND FUNCTIONALITY OF THE SERIES SYSTEM

Overview

This chapter discusses the functionality of the series system. It does this by explaining how the series system evolved and the particular challenges it was developed to meet. It identifies key differences between the series system and description according to record groups. The chapter also discusses the changes that have been made to the original series system model in the forty years since its first implementation and discusses how it can be applied in different archival environments.

Evolution of the series system

Archivists working in Australia in the 1950s and 1960s were presented with many issues as they sought to arrange and describe the records in their custody. These issues principally related to changing administrative environments, particularly in the government sphere.

At this time it was customary to use the record group as the primary classification when compiling record descriptions. A record group represents all the records created by a specific agency. It is a hierarchical arrangement that describes the creating organisation, followed by a description of the series, items and documents created and managed within this environment. When trying to use this method to describe all records in their custody, however, archivists were presented with difficulties. Increasing numbers of records were created by a succession of agencies.

Example: Administrative change and its impact on recordkeeping

Between 1916 and 1945, the function of immigration restriction in the Commonwealth government was transferred between ten government agencies. [2] Each agency inherited records from its predecessor as well as creating its own records to document the function. Records created in such a dynamic environment did not fit neatly into traditional record group structures which allowed records to be associated with one agency only. In fact, in trying to incorporate descriptions of these records into record group arrangements, archivists found they were having to distort the reality of a record's history, as they could not accommodate description of its full context within the record group structure. This was at odds with the long established archival principles of preserving context and maintaining the original order of records and proved to be an untenable situation. [3]

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[2] Clive Smith, 'The Australian Series System', *Archivaria*, Vol. 40, Fall 1995, p. 88.

[3] Peter J Scott, 'The Record Group Concept: A Case for Abandonment', *The American Archivist*, Vol. 29, October 1966, p. 493.

In 1964, Peter Scott, an employee of the Commonwealth Archives Office (now the National Archives of Australia), developed the series system as a means to document administrative change and its impact on record creation and management in a manner that was consistent with archival principles. His recommended approach was to separate descriptions of the agencies that generated records from record descriptions. Description was therefore 'split into two structures – context, or provenance, with elements of organisation, agency, family, person – and recordkeeping, with record series, item, document.' [4]

This separation allowed for change to be easily represented and enabled a full and accurate view of context. Most importantly, Scott's approach, which became known as the series system, was consistent with all fundamental archival principles. It also offered significant improvements in information retrieval and record accessibility. Scott first explained the workings of the system and demonstrated its adherence to traditional archival principles in his 1966 article, 'The Record Group Concept: A Case for Abandonment'. [5]

Comparing series system and record group description

The following table compares the series system and record group approaches to archival description.

Record Group	Series System
> a record group is allocated a number and described as a whole > series are described as part of the record group (in a hierarchical relationship) > provenance information about the record creator is recorded in the description of the record group > multiple and complex provenance is described in text > finding aids are document-based	> records groups are not described although a description can be generated from series descriptions > series are independently registered and described > record creators are registered as separate entities – provenance is established through linking series to record creators > multiple and complex provenance is represented through linkages > finding aids are data-based

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4 Peter J Scott, Clive D Smith and Gail Finlay, 'Archives and Administrative Change – Some Methods and Approaches (Part 4)', *Archives and Manuscripts*, Vol. 8, No. 2, December 1980, pp. 61-62.

5 Peter J Scott, 'The Record Group Concept: A Case for Abandonment', *op cit*, pp. 493-504.

Example: Archival description under the record group system and the series system

A record series that documents the transaction of the Immigration function over the period 1916-1945 is transferred to the Archives. As discussed, between 1916 and 1945, the function of immigration restriction in the Commonwealth government was transferred between ten government agencies. Each agency inherited records from its predecessor, as well as creating its own records to document the function.

Under the record group system:

The final agency responsible for this series' creation, the Department of Immigration, would have been listed as responsible for its creation. All the records in the series for the 1916-1945 period would have been described as being created by this agency and often physically arranged into one aggregation.

Under the series system:

The description of the record series would be linked to descriptions of each of the ten agencies that had a role in its creation or management. In this way an accurate representation of its history is provided, in a way that meets all accountability and information requirements and that is consistent with archival principles.

Under this descriptive method, record accessibility is also enhanced because researchers can look for records using a range of records creators as search terms. Relationships constructed between series and creators also allow for all connected records and agencies to be easily identified.

Personal records example: Comparing series system and record group approaches to description

In the papers of Eddie Mabo there is a series of records relating to the Black Community School in Townsville, which he ran. The record group system requires that this series be registered as either the records of Eddie Mabo or the records of the Black Community School. Yet it is clear that they are the records of both? Using the series system, a series would be registered for the Black Community School records and then linked to registrations for both Eddie Mabo and the Black Community School. It is this type of complex reality that is more efficiently and accurately documented by the series system than by the record group system.

Further development of the series system

The scope of the series system has evolved since its first implementation. Traditionally series system description of context has focused on the persons and corporations involved in records creation and administration. Now functions and activities are becoming more frequently used in series system implementations to describe the context of record creation and to provide an additional search path for researchers. This guide includes functions and activities as potential descriptive elements of series system implementations.

Modern technology, distributed archival collections and the web-based accessibility of archival information are also contributing to increased implementation of the series system. Its separation of record and contextual description can, in a web-based environment, facilitate the creation of archival descriptions that can be shared between a range of different institutions. Properly implemented, this both improves business practices in archival facilities and facilitates archival research.

3. PRINCIPLES OF SERIES SYSTEM DESCRIPTION

Overview

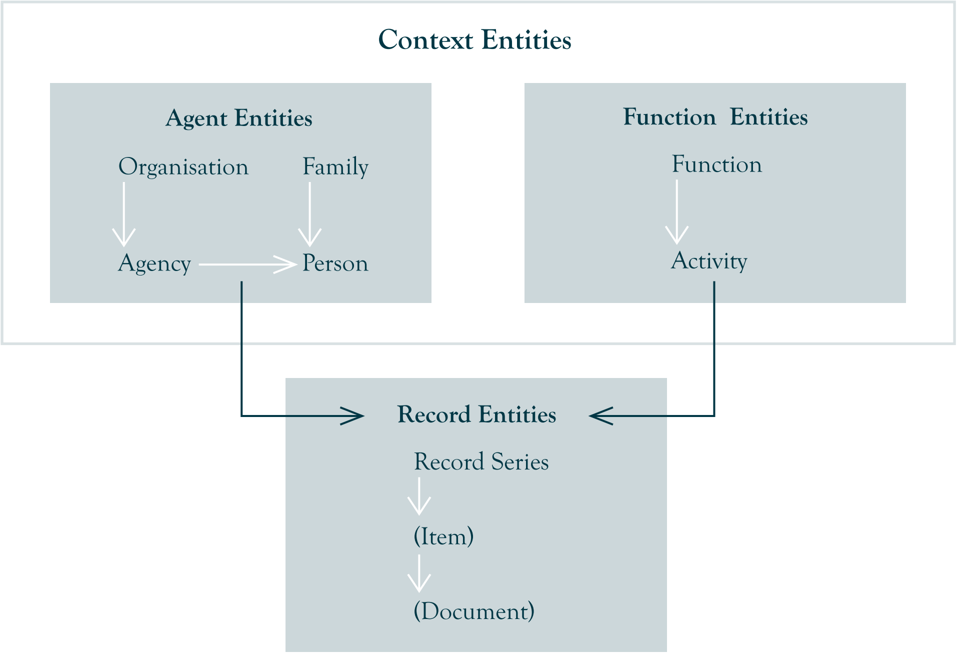
This chapter outlines the key principles that should underpin any implementation of the series system:

- series system description should be structured around the description of at least two entities
- record and contextual description must be maintained independently
- description must always be meaningful, applicable and useful in its user environment, and
- series system description is scalable.

Series system description is appropriate in any archival environment.

Series system description should be structured around the description of at least two entities

To implement the system, at least two descriptive entities are required. One should be a recordkeeping or record content entity and one a context (agent or function) entity. It is also necessary to document the relationship that exists between these entities.



Example:

The Commonwealth agency, the Controller of Egg Supplies, is registered by the National Archives of Australia as an agent entity or agency (CA 652). The agency's records are contained within one series of general correspondence files (CRS C920) which has been registered as a record content entity. The relationship between the agent entity and record content entity is documented through linkages between their respective descriptions. The descriptions of the series and creating agency/entity, and the links between them, together make up the information about the records and their context that the series system is designed to provide.

Record and contextual description must be maintained independently

Duplication between the content of record and context (agent and function) descriptions should be minimised as far as possible. Descriptive information about records should avoid discussing record creators or providing any other contextual information. Descriptive information about creators or business activities that generate records should not discuss records.

Relationship linkages should be used to connect related record and contextual descriptions.

Example:

The HMAS Parramatta [III] has been registered as an agent entity or agency (CA 3220) by the National Archives of Australia. The entity description for the agency records contextual information on the agency but does not include any reference to its records:

HMAS Parramatta [III], commissioned on 4 July 1961, was the first of the 'River' Class Destroyer Escorts (Type 12 Frigates) built at Cockatoo Island Dockyard.... The 'River' class destroyer escorts were the first ships in the Royal Australian Navy to operate guided missiles.... HMAS Parramatta departed Sydney on 29 January 1990 for her final overseas deployment, five months in South East Asia, prior to her decommissioning. The deployment was her third in ten months. Parramatta left Fremantle, WA under tow for a Pakistan ship-breaking yard on 13 March 1992.

One general correspondence series (CRS C1494) is linked to this agency. The entity description for this series contains information about the records but does not provide any contextual information about the agency:

These are general correspondence files which are the main series of files for HMAS Parramatta. This series covers subjects (e.g. intelligence, furniture, briefing, etc.). This series is controlled by a multiple number system (Lexi – Control System). There are both classified and unclassified records.

Description must always be meaningful, applicable and useful in its user environment

To ensure that description is meaningful and appropriate, users may interpret the series system according to local circumstances and alter or augment its recommendations to meet specific organisational or user requirements. It will often be useful to conduct or draw upon user studies and/or feedback when considering whether or not approaches to description are meaningful to users and how best to render these descriptions in human interface systems in ways that maximise their meaning and utility.

Series system description is scalable

The series system of description is flexible, with description able to be scaled in order to represent a diversity of recordkeeping environments and perspectives.

Because of the scalability it embodies, there are no rigid interpretations of entities in the series system. This guide contains recommended rules for implementation based on traditional norms for series system implementation, but an archive can choose to interpret the recommended contextual entities in this guide – organisations, agencies, persons, functions, business activities – according to local needs and understandings.

Example: Scaled implementations of series system description

Scenario 1: A government agency reads this guide and decides to implement the series system. The agency registers the government ministry it is part of as the organisation that controls its operations. It registers itself as an agency and also registers each of its administrative departments as agencies, with relationships used to indicate the subordinate position of these agencies.

Scenario 2: A business reads this guide. It is a private corporation that is owned by a larger multi-national corporation. It decides to implement the series system to describe its archives. In terms of the entities recommended for use in this guide, the business describes itself as an organisation within the system. It registers each of its administrative units as agencies. Record series that are created are linked directly to the agency descriptions of the units that created them.

Scenario 3: After seeing its effective operation, the multi-national corporation described above decides to implement the series system. It rolls out the system to describe the archives in each of its nationally-based corporations. In this implementation, the multi-national is described as an organisation, with each of its nationally-based corporations registered as agencies.

The scalability of series system description allows the previous work of the Australian corporation to be subsumed within this global descriptive system. Although regarded as an organisation in its national implementation, the Australian corporation is now regarded as an agency in the international implementation. The flexibility of the relationship structures enabled by the series system allows for this flexible reinterpretation of descriptive information according to different perspectives or requirements.

Each of these scenarios is a valid interpretation of the series system's structure in a particular business context.

Remember: The series system can be very flexible

The series system's relationship structures allow multiple levels or layers of context to be represented and a variety of interpretations. The flexibility of these relationship structures allows particular interpretations of a record's context over time to be nested and interpreted according to different perspectives.

Series system description is appropriate in any archival environment

The series system can be implemented in organisations of any size to manage any type of archival material. The series system can also be applied regardless of the custody of the records being controlled and described. An archive does not have to have physical custody of the records it describes using the series system. Similarly, the series system can be used to control and describe all records regardless of their age or retention status, including current temporary value records in a records management system.

The series system is equally applicable in public and private sector organisations, including schools, religious organisations, associations, etc. The approach it recommends is appropriate for the management of government and/or personal records.

Example: Use of the series system in a religious archives context

Religious organisations can be subject to significant amounts of administrative change. For example:

> in 1910 the Parish of Curly was established as part of the Kent Diocese. The Kent Diocese also contained the Parishes of Snowdrop, Brickton and Brock.

> the Parish of Curly had an active congregation and created a number of records series including wedding registers, financial files and property records.

> by 1950 the Parish of Curly had grown significantly. The decision was made to split it into two parishes, the Parishes of Holt and Hawke.

> in 1975 the neighbouring Holly Diocese was encroaching on Kent Diocese. A decision was made to move the Parish of Holt into the Holly Diocese.

> by 2002 population levels had dropped in Kent Diocese. The Parishes of Hawke and Snowdrop were consequently merged to create the Parish of Snowbird.

The series system provides a logical way to describe and manage records that have been created amongst such levels of administrative change.

For example, in the wake of these administrative changes, a series of wedding registers for the period 1910 to 1982 have been transferred to the Kent Diocesan Archives. These records were initially created by Curly Parish but were then transferred to Holt Parish when it was established in 1950. They are handled in the following manner:

> the archivist registers the records as a series

> the Parish of Curly is registered and linked as the ‘agency creating’ to the series description for the period 1910 to 1950

> the Parish of Holt is registered as an ‘agency creating’ for the period 1950 to 1982

> the Kent and Holly Dioceses are also registered as organisations controlling the Parishes of Curly and Holt, as well as the Parishes of Snowdrop, Brickton, Brock, Hawke and Snowbird

Because of this descriptive effort, full information about administrative change is able to be provided to researchers using these wedding registers. Researchers are able to understand the different organisations that created these records over time and understand the shifting geographic areas the records represent. Any subsequent record transfers from these parishes or diocese can also now be easily linked to the pre-existing parish and diocese registrations that the Archives has created.

Example: Use of the series system in a collecting archive

The Metropolitan Library has a large collection of personal papers and manuscripts. One of its prize collections is a disparate group of items donated by Jane E Citizen, a national identity who lives locally. Jane is a former national politician, is a prominent advocate of improved child care arrangements and was pivotal to the foundation of the abseiling movement in Australia. Jane is not a particularly well-ordered recordkeeper and sporadically forwards items to the Library when she finds them. Items are consequently received in no particular order and most items bear little relationship to one another.

The Library uses the series system to control and describe its archives but has decided not to implement the record series entity as a component of its descriptive framework. Records are received too infrequently and are often unrelated and so there is little justification in creating multiple single-item series to accommodate them. Instead it:

- registers each item individually
- links each item to an existing provenance description – in this case to a description of Jane E Citizen
- independently registers certain functions to facilitate information retrieval. This is done in addition to the Library's subject indexing. The Library has registered a number of functions. In the case of Jane E Citizen's records, the Library has linked these where appropriate to descriptions of the functions of 'political representation', 'child care promotion' and 'abseiling administration'.

Multiple retrieval paths are therefore provided for researchers to help them access, use and fully understand these records.

Example: Use of the series system in a school environment

A school decides to adopt the series system. The school proper is registered as a context entity using the 'organisation' metadata elements listed in Chapter 6 of this guide. Each of the teaching departments in the school creates records to document its business. Each of these departments is registered as a context entity using the 'agency' metadata elements listed in Chapter 6 of this guide.

The school also supports a number of committees run by both parents and pupils that perform different activities on behalf of the school. These committees are also each registered as agencies. Record series created by both the teaching departments and committees are registered separately and linked to the committee, committees or departments that created them.

In this way the context for record creation in this school is comprehensively documented. The description of the school as an organisation serves as the context for both the departments and committees it administers.

4. COMPONENTS OF THE SERIES SYSTEM – ENTITIES

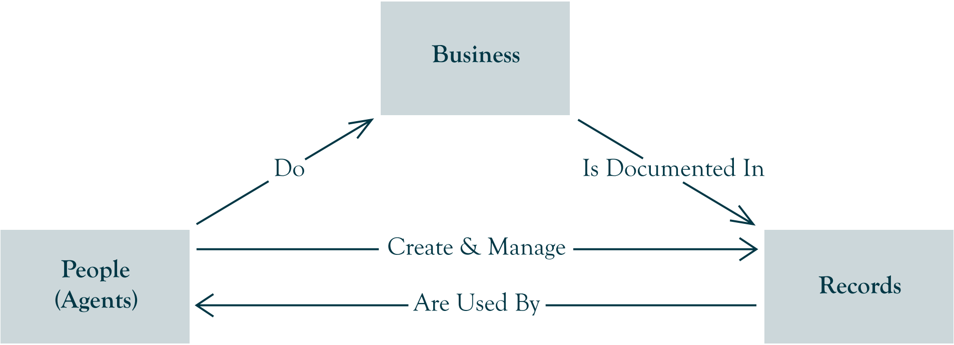
Overview

This chapter identifies and defines the entities that are recommended descriptive components in this guide to series system implementation.

Entity types

The series system can be used to describe different types of entities, and to document these entities in relationship to each other at particular points of time, or over time. The primary entities are those represented in the following diagram.[6]

Figure 1: The Business



When translated into entities for implementation of the series system:

> Series is the **records** entity commonly implemented in the series system.

> Organisations, agencies, families and persons are **agent** entities used in the series system.

> Functions and activities are **business** entities used in the series system.

> The arrows in the diagram represent the web of relationships between the entities.

Both business and agent entities can be grouped as context entities, entities whose primary role in the series system is to provide the context to records. Documenting business entities is not as common as documenting agent entities.

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[6] From 'Conceptual and Relationship Models: Records in Business and Socio-legal Contexts' a deliverable of the 1998-1999 Monash University research project 'Recordkeeping Metadata Standards for Managing and Accessing Information Resources in Networked Environments Over Time for Government, Commerce, Social and Cultural Purposes' Chief Investigators: Sue McKemmish, Ann Pederson and Steve Stuckey. http://www.sims.monash.edu.au/research/rcrg/research/spirt/reports.html.

Exactly which entities, and which layer of aggregation to define and implement, will differ from one environment to another. What is an agency entity in one implementation may be an organisation entity in another. Each implementing environment must determine and define series system entities according to its own needs and interpretations.

Example: Entity definitions differ from one environment to another

From 1956 to 1989 the Australian National Line (the trading name of the Australian Coastal Shipping Commission) operated interstate and overseas shipping services for the carriage of passengers, goods and mail. Under the Commonwealth Record Series (CRS) system the Australian National Line was registered as a provenance entity (CA 252), in this case as an agency of the Commonwealth of Australia.

On 1 July 1989, under the provisions of the *Australian National Line (Conversion into a Public Company) Act 1988*, Australian National Lines commenced operations as Australian National Lines Limited (ANL Ltd), a wholly Commonwealth-owned public company. Under the CRS system, ANL Ltd., the new public company, was still registered as a context entity or agency (CA 8405). The Commonwealth of Australia, however, was no longer registered as the controlling agency. Instead, ANL Ltd was registered as an organization (CO 115) in its own right as it was no longer an agency of the Commonwealth of Australia.

In other words, this example illustrates how the series system describes complex changes in governance structures over time.

Example: Record and context control in a school archives

The school is an organisation. It may not be registered as an organisation if all archives controlled are from the one school. It may be registered as an organisation if archives from different schools are controlled. The Principal's office and each of the teaching departments and school committees that have/had their own recordkeeping systems are registered as agencies. Former students who have donated personal archives are registered as persons.

Series of record items are registered and are linked to the agency or person that created them, the agency or person that transferred them and, if necessary, to the agency or person that is entitled to control them. Items are described as part of the series registration.

Note that in a government archives a school would usually be registered as an agency and all series would be attributed to the school as a whole rather than to its departments and committees.

Recommended entities

In this guide recommendations are made as to the types of entities that may be used when implementing series system description. These recommendations represent standard series system implementation practice. They are as follows:

Entity Type	Recommended Entity	Definition[7]	Example
Record	Record Series	A group of records which result from the same business or recordkeeping activity, have a common system of control or relate to a particular subject or function, have a similar format, or have another relationship arising out of their creation, receipt or use.	Minute book Alphabetical set of files Collection of photographs Staffing records in an automated human resource management system
	Item	An individual record unit.	File, volume, photograph, map, plan, video
Context (Agent)	Organisation	A body that is generally regarded as independent and autonomous in the performance of its functions.	Barker College Australian Society of Archivists Inc. Colony of Victoria
	Agency	A distinct and recognisable part of an organisation that usually has its own recordkeeping system.	Buildings Committee Australian Society of Archivists, NSW Branch
	Family	A group of related persons.	Spender Family
	Person	A natural person.	Eddie Mabo
Context (Business)	Function	A broad area of government, business, social or personal responsibility.	Primary education Creative writing Property management
	Activity	A group of tasks performed at a particular period of time to accomplish a function or functions.	Recruiting Acquisition

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[7] All definitions in this section are derived from definitions compiled by State Records NSW.

Registering Entities

The primary input of data into the series system occurs through the registration of record and context entities. Registration involves the allocation of a unique control number to the entity. A simple consecutive number sequence is usually used for each entity type. Alpha prefixes may be used to distinguish the entity type.

e.g.

4589 (Series entity "Admission and Discharge Registers")

F0001 (Function entity "Weights & measures regulation")

Describing Entities

Rather than prepare a single prose description, the information in a registration is broken down into separate attributes to reflect:

- Identity data
- Description data
- Control data
- Relationship data.

These attributes are expressed as data or metadata elements, each of which is labelled. For example, a series registration comprises metadata elements such as:

- Title
- Dates of creation
- System of arrangement.

Elements give structure to the description and facilitate indexing and searching. Elements also help prompt those creating archival descriptions to include important pieces of information in their descriptions. They are more readily suited to computerisation and manipulation and sharing of data.

Many descriptive details are common to all entities (at least conceptually); i.e., there must be a title for each entity. However, the data values will differ for each entity type; e.g., the title given to an agency will be different to the title given to a series. Some descriptive details are specific to an entity type; e.g., quantity only applies to series. Data values may be controlled; e.g., by lists of acceptable values or by thesauri.

Many elements are repeatable with different data values. This is particularly the case when linking other registered entities and is a hallmark of the series system.

The specific elements or metadata recommended to describe these entities is described below in Chapter 6: 'Components of the series system – Metadata elements'.

Linking Entities

The linking of registered entities is a fundamental feature of the series system.

Linking removes the need for duplication between registrations. For example, in a series registration a link will be established to the agency, person or family that created the records by including the unique control number of the agency, person or family, their title and the dates the series was created by that agency, person or family. No other details about the provenance should be included in the series registration, as this information is available by referring to the agency, person or family registration.

Each relationship established between registered entities must itself be described by including the relationship type and effective date range for the relationship.

Possible relationships that can be established between entities are fleshed out in more detail in the following chapter, 'Components of the series system – relationships'.

Control

Registrations of record and context entities are themselves records and it important to record details about who created the registration and when, who authorised it and when (if applicable), when and by whom it was revised and its status (e.g. draft, final).

Registrations should always include the name of the archival program so their origin can be easily discerned.

5. COMPONENTS OF THE SERIES SYSTEM – RELATIONSHIPS

Overview

This chapter:

> provides a brief overview of the role of relationships in the series system

> describes the types of relationships that can be established within the series system, and

> outlines the rules that apply to any relationships established within the series system.

Relationships in the series system

Integral to the functionality of the series system is its capacity to document and preserve contextual relationships between entities. Identification and documentation of relationships is essential to preserving record meaning, evidential value and accessibility through time. Accurately documenting relationships between entities is particularly pertinent in the archival environment where users must be provided with adequate contextual information in order to be able to select, use, understand and trust records.

How relationships are formed

Within the series system structure, relationships are indicated by the linking of entity descriptions. The specific attributes or metadata required to describe relationships is provided below in Chapter 6: ‘Components of the series system – metadata elements’.

Entities that can be related

All entities in the series system can be connected using relationship structures.

Specifically, in the series system relationships can be created between:

> instances of the same type of entity (for example, between two recordkeeping entities, that is, between two series to indicate a previous and subsequent relationship), and

> between different types of entity (for example, between a recordkeeping entity and a provenance entity, that is, between a series and the description of the agency that created it).

Relationship types

Three broad types of relationships can be sustained within the series system:

Succession	These types of relationships link entities that precede or succeed one another. Specific relationships of this type could include: > previous series > subsequent series > previous agency > subsequent agency
Control	These types of relationships link entities that exercise governance, control or responsibility over one another. Specific relationships of this type could include: > controlled series > controlling series > controlling organisation > agency controlled
Related	These types of relationships link entities that have a relationship that cannot be defined using either the succession or control relationship types. This could include part/whole relationships, business partnerships, etc. Specific relationships of this type could include: > related function > related item

Note: Each implementing environment may determine its own specific relationship requirements

This guide does not individually specify the many different relationships that can be generated and maintained within the succession, control and related relationship types. Each implementing archive may determine the specific relationship definitions within each relationship type that best meet its specific needs.

Succession relationships within the series system

Example 1:

The Department of Immigration (CA 51) was the agency responsible for the Australian Government's immigration function between 1945 and 1974. Under the CRS system, this agency's entity description is linked to an entity description of the Department of the Interior (CA 31), the agency that undertook this function prior to 1945. After 1974 the relationships with subsequent agencies such as the Department of Labour and Immigration (CA 1769) are also documented through linkages between the entity descriptions.

Example 2:

Transitional Advisory Committee succeeded by a fully authorised School Council.

Control relationships within the series system

Example 1:

The entity description for the main correspondence series for the Department of Foreign Affairs and Trade (CA 5987) between 1948 and 1989 (CRS A1838) is linked to the entity descriptions for thirty-eight controlling series. These thirty-eight include such series as Index books for correspondence (CRS A1837), Nominal index cards to Australian Experts files (CRS A6694) and Registers of Top Secret documents, inwards and outwards – for documents within A1838 files only (CRS A10912). The control relationship allows users to find the control records for the main series in order to locate the relevant records.

Example 2:

A school owned by a Church and run by an order of nuns that is part of the Church.

Related relationships within the series system

Example 1:

The entity description for the main correspondence series for the Department of External Affairs [1] (CA 7) between 1903 and 1916 (CRS A1) has linkages to the entity descriptions of several related series. These related series contain an assortment of records including volumes of duplicates, outward letter books of correspondence and sketch books. Researchers can use the records in these related series to complement and enhance their findings from the main series. For instance, the series titled Classified prints of photographs relating mainly to Papua and New Guinea (CRS A6510) is a useful supplementary source for those researching correspondence relating to Papua New Guinea. The related relationship allows these series to be found and accessed in tandem with the main series.

Example 2:

A school operated by a convent, which in turn in is a part of a Church and used by an order of nuns.

Relationship rules

A set of standard relationship rules apply to any relationships that are established between entities in the series system. These are as follows:

1. **Relationships are reciprocal**. If a series registration shows it was created by a particular person, the description of the person must also show that the series was created by them. Links can only be made to registered entities and the effective dates of the relationship must be the same when viewed from both perspectives.
2. **The type of relationship must be clear**. If you link a series and an agency, you need to show whether the series was created by the agency or controlled by the agency or had some other type of allowable relationship.
3. **Multiple relationships of the same type are allowed.** If a person created 25 record series then each series, when registered, must be linked to the person creating it. The registration for the person will show 25 'series created' relationship types.
4. **Always use dates to show when a relationship was effective.** Every relationship is time-bound so the effective dates of the relationship must be recorded.
5. **Keep a record of historical relationships.** If a record series was once created by one agency but it is now being created by another agency – don't delete the link to the original agency. Use dates to show the changes in relationships over time.

Tip: Record content entities can be linked to higher-level context entities

Remember that the record series is not necessarily an essential component of the series system. If your business only registers at the record content or item level, this can be accommodated within the series system framework. You can create a relationship between your content/item registrations and higher-level context entity registrations, such as registrations of persons, families, agencies, activities, etc., that created the items.

6. Components of the series system – Metadata elements

Overview

This chapter:

- describes the role of metadata elements in the series system, and
- lists the metadata elements that can be used to describe entities in the series system.

Metadata elements in the series system

Metadata elements are the data components used to describe entities and their relationships. They specify the information components that combine together to make an entity or relationship description. Metadata elements give structure and meaning to the entity description and facilitate indexing and searching across data elements.

Each entity in the series system is described using a number of metadata elements. Standard metadata elements for describing the entities recommended in this guide and the relationships that can exist between them are listed below.

Not all elements in this chapter must be used – organisations can choose the elements of description that are most appropriate to their descriptive and informational needs. Recommended mandatory elements are indicated in the tables.

Record series metadata elements

Below are a range of metadata elements that may be used when registering series. Those elements that are regarded as mandatory or essential are indicated with an asterisk.

Metadata Element name	Description
Identifier*	The unique control number of the series in the system.
Title*	The name of the series – may be assigned by the archivist.
Series creation start date*	The start date identifying when the series was formed.[8]
Series creation end date*	The end date identifying when the series ceased to be created.[9]
Series contents start date	The start and end dates of the record items that comprise the series.[10]

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[8] If exact dates are not known use approximate dates.

[9] If exact dates are not known use approximate dates.

[10] If exact dates are not known use approximate dates.

Series contents end date	The last date of the record items that comprise the series.[11]
Function/subject descriptors [12]	Words that identify the business documented in or the subjects of the series. These words may or may not be from a controlled vocabulary.
Quantity*	The physical size and/or extent of the series.
Physical characteristics and technical requirements	The predominant form of the items in the series and any technical considerations that may affect their long term management.
Description	A brief prose description of the series. Can include information about related records or context entities which have not been registered in the system. The description should not duplicate information contained within other parts of the registration.
Disposal status and history	The disposal actions that have been performed upon the record series, the authorisation for these activities (such as a disposal authority reference) and whether any future activity is anticipated.
Accruals	Anticipated growth rate of the series.
System of arrangement	The system by which items in the series are ordered.
Range of control symbols	The range of numbers, symbols or other identifiers used to govern the order of items in the series.
Access status	Whether the series is open or closed to public access.
Copyright and reproduction	Any copyright restrictions or reproduction arrangements which may affect copying of the items in the series.
Language	The principal language used within the series.
Finding aids	References to internal publications or published sources that may facilitate use or understanding of the series.
Location	The physical or virtual location of the series.
Location of copies	Whether copies of any or all items in the series exist and where these copies are located.
Relationships[13]	Identifies relationships to records or context entities. E.g., creating/controlling agency/person/family; creating/controlling function/activity; related functions/activities; previous/subsequent record series; controlled/controlling record series; related record series.

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[11] If exact dates are not known use approximate dates.

[12] If a business activity entity is related to the record series, this element may be regarded as redundant or the subject capacity of the element only may be used.

[13] Relationships should be described using the metadata elements defined in ‘Relationship metadata’ in this chapter.

Record item metadata elements

Below are the metadata elements which can be used to describe items. Those elements that are regarded as mandatory or essential are indicated with an asterisk.

Metadata Element name	Description
Identifier*	A number or symbol uniquely identifying the item within the series.
Title *	The name of the item – may be assigned by the archivist.
Start date*[14]	The date the record item was created, e.g. the date of the first document in the file or first entry in a volume.
End date* [15]	The date the record item was closed or completed, e.g. the date of the last document in the file or last entry in a volume.
Function/subject descriptors [16]	References the business activity(ies) documented in or the subject of the record item.
Quantity	An indication of the physical size or capacity of the record item.
Physical characteristics and technical requirements	The form of the record item and any technical considerations that may affect its long term management.
Description	A brief prose description of the record item. This should not repeat information contained within other metadata elements.
Disposal status and history	Indicates whether the record item is still to be sentenced, whether it has been identified as an archive or whether it is scheduled for destruction.
Disposal class number	The disposal authority and disposal class under which the record item was or is to be sentenced.
Access status	Whether the record item is open or closed to public access.
Copyright and reproduction	Any copyright restrictions or reproduction arrangements which may affect use of the record item.
Language	The principal language used within the record item.
Finding aids	Identifies internal publications or published sources that may facilitate use or understanding of the record item.
Location	The physical or virtual location of the record item.

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[14] If exact dates are not known use approximate dates.

[15] If exact dates are not known use approximate dates.

[16] If an activity entity is related to the record item, this element may be regarded as redundant or the subject capacity of the element only may be used.

Location of copies	The location of copies of any or all record items in the record series.
Availability	Any factors that affect or inhibit the record item's availability, such as loan, exhibition, conservation treatment, etc.
Relationships[17]	Relationships to records or context entities. E.g., creating/controlling records series; creating/controlling agency/family/person.

Organisation or family metadata elements [18]

Below are the metadata elements which can be used to describe organisations or families. Those elements that are regarded as mandatory or essential are indicated with an asterisk.

Metadata Element name	Description
Identifier*	The unique number or symbol of the organisation or family in the system.
Title*	The name of the organisation or family.
Start date*[19]	The date the organisation was created or the family was established.
End date*[20]	The date the organisation was abolished or the family ceased.
Mandate	The legislation or other authoritative instrument establishing the organisation or governing the functions and activities of the family.
Location	The physical or virtual location of the organisation or family.
Description	A brief prose description of the role and operations of the organisation or family. This should not duplicate information contained within other metadata elements.
Function performed[21]	References the function(s) performed by the organisation or family.
Relationships[22]	Identifies relationships to records or context entities. E.g., controlled/controlling organisations/families/agencies/persons; subsequent/previous organisations/families/agencies/persons; related organisations/families/agencies/persons; controlled/controlling records series; related functions/activities.

[17] Relationships should be described using the metadata elements defined in 'Relationship metadata' in this chapter.

[18] Families can be provenance or ambient entities. This set of attributes outlines the metadata elements that should be used to describe families when they are ambient entities.

[19] If exact dates are not known use approximate dates.

[20] If exact dates are not known use approximate dates.

[21] If a function entity is related to the agency, person or family, this element may be regarded as redundant.

[22] Relationships should be described using the metadata elements defined in 'Relationship metadata' in this chapter. In implementations applying relationships as separate entities, this entry would cite the relationship identifier.

Agency or person or family metadata elements [23]

Below are the metadata elements which can be used to describe agencies, persons or families. Those elements that are regarded as mandatory or essential are indicated with an asterisk.

Metadata Element name	Description
Identifier*	The unique number of the agency, person or family in the system.
Title*	The name of the agency, person or family.
Start date*[24]	The date the agency was created, the person was born or the family established.
End date* [25]	The date the agency was abolished, the person died or the family dissolved.
Mandate	The legislation or other authoritative instrument establishing the agency, or governing the activities of the person or family.
Location	The physical or virtual location of the agency, person or family.
Description	A brief prose description of the role and operations of the agency or the activities of the person or family. This should not duplicate information contained within other metadata elements.
Function performed[26]	References the business function(s) or activity(ies) performed by the agency, person or family.
Relationships[27]	Identifies relationships to records or context entities. E.g., controlled/controlling organisation/family/agency/family/person; previous/subsequent agency/family/person; related organisation/family/agency/family/person; created/controlled records series; related record series; related functions/activities.

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[23] Families can be provenance or ambient entities. This set of attributes outlines the metadata that should be used to describe families when they are provenance entities, that is when they are directly involved in creating records.

[24] If exact dates are not known use approximate dates.

[25] If exact dates are not known use approximate dates.

[26] If a function entity is related to the agency, person or family this element may be regarded as redundant.

[27] Relationships should be described using the metadata elements defined in ‘Relationship metadata’ in this chapter.

Function and activity metadata elements

Below are the metadata elements which can be used to describe functions or activities. Those elements that are regarded as mandatory or essential are indicated with an asterisk.

Metadata Element name	Description
Identifier*	The unique number of the function or activity within the system.
Title*	The name of the function or activity.
Start date*[28]	The date the function or activity commenced, was implemented or first undertaken.
End date*[29]	The date the function or activity was abolished or when it ceased to be performed.
Mandate	The legislation or other authoritative instrument that provides authorisation for the establishment or operation of the function or activity.
Location	The physical or virtual location where the function or activity was transacted.
Description*	A brief prose description of the role and conduct of the function or activity. This should not include or duplicate information contained within other metadata elements or include any contextual detail.
Agency, person or family performing[30]	References the agency(ies), person(s), or family(ies) performing the function or activity.
Relationships[31]	Identifies other relationships to records or context entities. E.g., agencies/families/persons performing the function; previous/subsequent functions/activities; controlled/controlling functions/activities; related series.

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28 If exact dates are not known use approximate dates.

29 If exact dates are not known use approximate dates.

30 If an agent entity is related to the activity or function, this element may be regarded as redundant.

31 Relationships should be described using the metadata elements defined in ‘Relationship metadata’ in this chapter.

Relationship metadata elements

These attributes should be used to describe any relationship that is formulated between entities. The types of relationships that can be formulated are described above in Chapter 5: 'Components of the series system – relationships'.

Metadata Element name	Description
Related entity identifier	Identifies the entity to which this entity is related.
Relationship type	The type of relationship that is shared between the related entities (see Chapter 5: 'Components of the series system – relationships' for a summary of the types of relationships that can be sustained within the series system).
Start date [32]	The date the relationship came into effect.
End date [33]	The date the relationship ceased, or was superceded.
Relationship definition	A specific, text-based definition of the nature of the relationship between entities.

Example:

AAAC DEPARTMENT OF INTERNAL AFFAIRS, 1840-current			
Successor:			
AANK	Department of Labour	1922	Regulation of weights and measures

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[32] If exact dates are not known use approximate dates.

[33] If exact dates are not known use approximate dates.

Control data

Control data identifies the source and date of the archival description and can be used to indicate the public accessibility of the description. Control data is generally a part of each entity registration.

References	Cites any sources that were used in the compilation of the entity description.
Registration status	The status of the description, i.e. whether it is complete, superseded or a draft registration of the entity.
Registered by	The person responsible for the entity description.
Date registered	The date the entity description was completed.
Archivist's note	Any information about the process of preparing the entity description that may be required for clarity or background information.
Security codes	Indicates whether the entity description is available to the public or restricted to certain staff.

7. ADDITIONAL IMPLEMENTATION CONSIDERATIONS

Overview

This chapter:

- discusses the rules and conventions that can govern series system implementation
- discusses defining a data model
- outlines different outputs that can be produced from series system description
- references different forms of software that can be used to generate the types of series system descriptions suggested in this guide, and
- discusses data inheritance, which can be used to facilitate series system description.

Rules and conventions

This guide provides an overview of series system description and identifies the entities that can be used to compile archival description, as well as the particular attributes that can be used to describe these entities.

Each organisation wishing to implement the series system will need to determine other specific rules and conventions for generating archival description in their domain. These rules would generally cover issues such as:

- possible data values that should be used to describe records, agents and functions
- the source of data values
- what data should be included or excluded from data values
- acceptable grammatical conventions and punctuation rules, etc.

Government organisations may need to follow specific rules and conventions established by the relevant State or Commonwealth archives in their jurisdiction.

Use of controlled language, as a means to regulate the terms that can be used as descriptive components of the system, could also be considered when implementing the series system.

Defining a data model

All implementations of the series system should be accompanied by a data model which explains: the things you are going to describe; the data you will capture about them; and the relationships that will be documented. The data model will depend on the predominant types of archival materials you are describing and the complexity of the provenance and broader context of these materials.

Inputs and outputs

This guide to the series system recommends particular inputs for creating series system descriptions. It does not, however, prescribe the outputs that should be produced from descriptive systems that implement the series system. Series system entity descriptions can be manipulated and reported on for internal collection management purposes and to produce outputs such as finding aids. When using automated control systems, a range of user-friendly and intuitive user interfaces to (or views of) the descriptive data can be deployed to assist users to find and easily interpret the information that they seek in an online database.

Archival institutions may determine the range of outputs that are appropriate for their business needs. Different outputs that could be considered include:

> inventories of record series for an agency, person or family

> a listing of the full fonds or the entire record collection of an agency, person or family, or

> representation of data in a specific format, such as Encoded Archival Description (EAD).

Archival institutions should consider the range of outputs that are necessary or desirable when planning for their series system implementation.

It should also be noted that, in terms of outputs, the separation of record and contextual description avoids problems that may occur when records and their context at (or up to) a particular time are described and published in an integrated document. The series system employs a relational documentation model that allows adjustments to be limited to the elements and relationships affected. This is in contrast to a non-relational model that would require either a more comprehensive reworking of documentation to reflect the same changes, or new documentation covering material that, because of the constraints of the non-relational model, cannot be accommodated within it.

Common indexes, inventories, reports and finding aids are listed below.

Inventory of agencies by organisation

For each organisation a report should be able to be generated that lists all of the agencies belonging to it, including the unique control number and title of the agency and the dates it belonged to the organisation.

Inventory of series by agency/person/family

For each agency, person and family a report should be able to be generated that lists all of the series created, including the unique control numbers and titles of the series and the dates when they were created by the agency, person or family.

Online finding aids

It will often be useful to conduct or draw upon user studies and/or feedback when considering whether or not approaches to description are meaningful to users and how best to render these descriptions in human interface systems in ways that maximise their meaning and utility.

Using software applications

Series system implementation can be facilitated by the use of specialist software applications. A number of products exist that provide configurable series system functionality. Such applications allow a range of controlled inputs and can provide a diversity of outputs including client interface and reporting features.

Free series system compatible software packages include:

> Tabularium[34]

> Austehc's Heritage Documentation Management System.[35]

Data inheritance

When applying descriptions to entities using the series system, values for specific attributes can be inherited from the descriptions of other entities. For example, an item can inherit attributes, such as disposal status, from the series of which it is a part.

The ability to facilitate data inheritance is usually a feature of software packages that enable series system description.

Extending the series system (to temporary records, objects)

Control of temporary value records

Archival programs with available resources may want to consider using the series system to control temporary records in current recordkeeping systems. The series system is particularly well suited to the control of such records, as can be seen by the fact that the series system conceptual model has been adopted by various Australian public sector jurisdictions as the basis for their recordkeeping metadata standards.

Attributes/elements (e.g. retention/disposal and location attributes) found in this guide will facilitate the efficient management and disposal of temporary value records.[36]

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[34] For further information about Tabularium, see http://tabularium.records.nsw.gov.au (as at 27 March 2003).

[35] For further information about the Heritage Document Management System, see http://www.austehc.unimelb.edu.au/HDMS/ (as at 27 March 2003).

[36] For further guidance on this, see Paul Feldman, 'Applying the Australian Series system to the management of current records', *Records Management Journal* [UK] Vol. 13, No. 2, 2003, pp. 54-61.

Control of museum objects

Within the museums community there is a strong understanding of the need to document the context of museum objects – a need that is well catered for by the series system. Indeed, institutions and programs, both museum and archival, that are responsible for ‘hybrid’ collections of museum and archival objects will find that flexible adaptation of the series system will enable them to control these hybrid collections using a single descriptive system, thus avoiding the trouble and expense of implementing separate parallel systems of control.

APPENDIX 1

Glossary

Ambience

The context of provenance entities[37]

Ambient entity

Entities that provide context to provenance entities (record creators) by associating them with broader administrative, familial or functional responsibilities. Organisations and functions are examples of ambient entities in the series system framework.

Archival description

Description applied in the archival environment. Within continuum theory, also known as fourth dimensional description.[38]

Attribute

A single component of a metadata set or standard. The attribute 'Title' is a component of entity descriptions within the series system descriptive standard. Also known as a *metadata element*.

Context

The knowledge necessary to sustain a record's meaning or evidential value. Context describes the who, what, when, where and why of record creation and management. Context includes both *ambience* and *provenance*.

Description

The process of applying authoritative metadata to explain or illustrate a record, agent or function. Description can be an iterative process that can be applied from creation onwards. In systems designed for the purpose, authoritative metadata schemes and the values to be attributed can exist prior to the creation of the record, but the connection between the metadata and the documentation of an event or circumstance cannot be forged prior to creation.

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[37] This definition comes from Chris Hurley, 'Ambient Functions: From Abandoned Children to Zoos', *Archivaria*, No. 40, Fall 1995, pp. 21-39.

[38] A comprehensive set of publications addressing this and other aspects of continuum theory are accessible via the Records Continuum Research Group website at http://www.sims.monash.edu.au/research/rcrg/about/index.html (as at 14 August 2003).

Entity

Collective term given to an individual record, agent or function or a collection of records, agents or functions about which metadata is attributed.

Metadata element

A single component of a metadata set or standard. The metadata element 'Title' is a component of entity descriptions within the series system descriptive standard. Also known as an *attribute*.

Provenance

The relationships between records and the agencies or individuals that created, accumulated and/or maintained and used them in the conduct of personal or corporate activity.[39]

Provenance entity

Persons or agencies that create, maintain or manage records. Provenance entities also include the business activities that generate records.

Relationships

Metadata linkages used to indicate functional or sequential connections between entities in a recordkeeping system. The essential characteristics of all such relationships are that they are reciprocal and contingent.

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[39] This definition is taken from the *International Standard Archival Authority Record For Corporate Bodies, Persons and Families*, draft second edition, November 2002, accessible via http://www.hmc.gov.uk/icacds/eng/ISAAR(CPF)2.pdf (as at 26 March 2003).

Appendix 2

Examples of series system descriptions

1. Royal Society of Victoria

These descriptions relating to the records of the Royal Society of Victoria are taken from the online finding aid to the Society's records, available at http://www.austehc.unimelb.edu.au/guides/asrs/asrs.htm (as at 24 June 2003). This finding aid was produced by rolling the guide to the holdings produced on transfer of the records to the La Trobe Australian Manuscripts Collection, State Library of Victoria between 1981 and 1988 into the HDMS. Hence not all of the mandatory/essential elements are present. Also as a result of the hypertext design of the online finding aid some of the element values in the following table may be implicitly rather than explicitly expressed on the individual pages.

Series

Identifier	1
Title	Minute Books
Series creation start date	1854
Series creation end date	
Series contents start date	1854
Series contents end date	1982
Quantity	21 volumes
Physical characteristics and technical requirements	Minutes and agendas
Description	Minutes of council and ordinary meetings of the Victorian Institute for the Advancement of Science, Philosophical Society of Victoria, Philosophical Institute of Victoria and The Royal Society of Victoria.
Access status	Open

Relationship	**Related Entity Identifier**	Philosophical Society of Victoria
	Relationship type	Agency creating
	Start date	12 August 1854
	End date	10 July 1855
Relationship	**Related Entity Identifier**	Philosophical Institute of Victoria
	Relationship type	Agency creating
	Start date	10 July 1855
	End date	November 1859
Relationship	**Related Entity Identifier**	The Royal Society of Victoria
	Relationship type	Agency creating
	Start date	1859
	End date	
Control	**Archivist's note**	The contents of Volumes I (3 parts) and VIII (3 parts) have been listed as separate parts or 'items', although they are physically contained within one volume in each case. Similarly, the contents of item 1/1 are listed as separate parts.

Item

Identifier	Vol. VII	
Title	Vol. VII Royal Society of Victoria meetings, 2 March 1967 – 22 December 1970; includes statements of accounts, 31 December 1970 – 31 December 1972	
Start date	2 March 1967	
End date	31 December 1972	
Quantity	1 volume	
Physical characteristics and technical requirements	Accounts, Minutes and Agendas	
Description	Council meetings	
Relationship	**Related Entity Identifier**	The Royal Society of Victoria
	Relationship type	Agency creating
	Start date	2 March 1967
	End date	31 December 1972

Organisation/Agency

Identifier	2	
Title	Philosophical Society of Victoria	
Start date	12 August 1854	
End date	10 July 1855	
Description	The Philosophical Society of Victoria was founded in Melbourne on 12 August 1854, a few months after the Victorian Institute for the Advancement of Science. The first meeting was called by Captain Andrew Clarke. The object of the Society was stated as ‘embracing the whole field of science, with a special reference to the cultivation of those departments that are calculated to develop the natural resources of the country’. The Society amalgamated with the Victorian Institute for the Advancement of Science in July 1855 to form the Philosophical Institute of Victoria.	
Relationship	**Related Entity Identifier**	1 – Minute Books (1854 -)
	Relationship type	Series created
	Start date	12 August 1854
	End date	10 July 1955
Relationship	**Related Entity Identifier**	Philosophical Institute of Victoria (10 July 1855 – November 1859)
	Relationship type	Subsequent agency

Organisation/Agency

Identifier	3	
Title	Philosophical Institute of Victoria	
Start date	10 July 1855	
End date	November 1859	
Description	The Philosophical Institute of Victoria was formed through the amalgamation of the Victorian Institute for the Advancement of Science and the Philosophical Society of Victoria, the first meeting being held on 10 July 1855 at the Museum of Natural History. According to the amalgamation statement, 'the objects of the Philosophical Institute shall be the same as that of the Philosophical Society, and that the mode of operation of the new Institute shall be the same as that of the old Society'.	
Relationship	**Related Entity Identifier**	1 – Minute Books (1854 -)
	Relationship type	Series created
	Start date	10 July 1855
	End date	November 1859
Relationship	**Related Entity Identifier**	Philosophical Society of Victoria (12 August 1854 – 10 July 1855)
	Relationship type	Previous agency
Relationship	**Related Entity Identifier**	The Royal Society of Victoria (1859 –)
	Relationship type	Subsequent agency

Organisation/Agency

Identifier	4	
Title	The Royal Society of Victoria	
Start date	1859	
End date		
Description	Towards the end of 1859 the members of the Philosophical Institute of Victoria sought approval to change their name to 'The Royal Society of Victoria'. Permission was granted and the first meeting was held on 21 December 1859 in the new hall built that year at 9 Victoria St, Melbourne (8 La Trobe St). See *Science and the Making of Victoria.*	
Relationship	Related Entity Identifier	1 – Minute Books (1854 -)
	Relationship type	Series created
	Start date	21 December 1859
	End date	
Relationship	Related Entity Identifier	Philosophical Institute of Victoria (10 July 1855 – November 1859)
	Relationship type	Previous agency

2. Queensland Anglican Archives

The descriptions relating to the Diocese of Brisbane, Anglican Church of Australia are taken from the online finding aid to records held by the Anglican Records and Archives Centre available at http://www.anglicanarchives.org.au/HDMS-HTML/HDMS.htm (as at 13 June 2006). The output on the web is periodically updated to reflect the latest processing of the records held by the centre. Not all mandatory/essential elements are included. As a result of the hypertext design of the online finding aid some of the element values in the following tables may be implicitly rather than explicitly expressed on the individual pages. In addition some values may be derived (e.g. series quantity and contents date range derived from values for the items).

Series

Identifier	ABMAS154	
Title	Organizational records created by the Anglican Board of Mission and its subsidiaries	
Series contents start date	1850, The major portion of the records commence at 1900	
Series contents end date		
Quantity	25 items	
Access status	Partially closed	
Relationship	**Related Entity Identifier**	DBRP434 – Anglican Board of Mission – Australia
	Relationship type	Agency creating
Control	**Registered by**	Listed by Glenda Murrell, HTML edition Desley Soden
	Date registered	(Recorded in the database but not displayed in the HTML output)

Item

Identifier	ABMA00020	
Title	Account books	
Start date	1 January 1947	
End date	31 December 1971	
Physical characteristics and technical requirements	Accounts	
Description	Account book 01/01/1947 – 31/07/1959 Income book 01/05/1959 – 28/02/1962 Income book 01/03/1962 – 30/09/1964 Income book 01/10/1964 – 31/03/1967 Income book 01/04/1967 – 28/02/1970 Imprest Expenditure Book 01/06/1960 – 31/03/1965 Imprest Expenditure Book 01/04/1965 – 31/08/1968 Expenditure book 01/10/1958 – 31/12/1962 Expenditure book 01/01/1963 – 30/09/1968 Expenditure book 01/09/1968 – 31/12/1971	
Access status	Open	
Location	Box Number 10 Location Archive Room 1, Bay 6, CD, Shelf 3	
Relationship	**Related Entity Identifier**	DBRP434 – Anglican Board of Mission – Australia
	Relationship type	Agency Creating
Control	**Registered by**	Listed by Glenda Murrell, HTML edition Desley Soden
	Date registered	(Recorded in the database but not displayed in the HTML output)

Agency

Identifier	DBRP434	
Title	Anglican Board of Mission – Australia	
Description	The name of the Provenance was originally Australian Board of Missions. This was changed in 1996 to the Anglican Board of Mission – Australia. It is still known as ABM.	
Relationship	**Related Entity Identifier**	ABMAS154 – Organizational records created by the Anglican Board of Mission and its subsidiaries
	Relationship type	Series created
Relationship	**Related Entity Identifier**	PHOTS192 – Photographs
	Relationship type	Creating agency for items in the series
Relationship	**Related Entity Identifier**	DBRP439 – The Comrades Of St. George, A youth support group for Australian Board of Missions (1950? – c. 1980)
	Relationship type	Controlled agency
Control	**Registered by**	Listed by Glenda Murrell, HTML edition Desley Soden
	Date registered	(Recorded in the database but not displayed in the HTML output)

Series

Identifier	AHALS220	
Title	Records of the Office of Archbishop during the Episcopate of Reginald Charles Halse	
Series creation start date	1943	
Series creation end date	1962	
Series contents start date	1864	
Series contents end date	1963	
Quantity	24 items	
Physical characteristics and technical requirements	General Correspondence, News Clippings, and Loose Notes	
Access status	Partially closed	
Relationship	**Related Entity Identifier**	DBRP503 – Halse, The Most Reverend Sir Reginald Charles (1881 – 1962)
	Relationship type	Person creating
Relationship	**Related Entity Identifier**	AWANS221 – Records of the Office of Archbishop during the Episcopate of John William Charles Wand (1934 – 1943)
	Relationship type	Previous series
Relationship	**Related Entity Identifier**	ASTRS218 – Records of the Office of Archbishop during the Episcopate of Philip Nigel Warrington Strong (1963 – 1970)
	Relationship type	Subsequent series
Control	**Registered by**	Listed by Glenda Murrell, HTML edition Desley Soden
	Date registered	(Recorded in the database but not displayed in the HTML output)

Item

Identifier	AHAL00001	
Title	Correspondence	
Start date	1943	
End date	1963	
Physical characteristics and technical requirements	Accounts	
Description	Brisbane Synod 1944 Brisbane Synod 1945 Brisbane Synod 1947 Brisbane Synod 1957 Brisbane Synod 1958 General Synod 1945 Sailors & Soldiers Church of England Help Society 1943 – 1946 World Council of Churches 1953 – 1954 World Council of Churches 1961 – 1963 Clergy Appointments (Closed) Diocesan Broadcasting Committee Church of England in Australia – Constitution Bill 1961 Australian Bishop's Meeting – Cheltenham Vic. 1947 Bishop's Meeting – Gilbulla 1959	
Access status	Partially closed	
Location	Box Number 1 Location Archive Room 1, Bay 1, AJ, Shelf 1	
Relationship	**Related Entity Identifier**	DBRP503 – Halse, The Most Reverend Sir Reginald Charles (1881 – 1962)
	Relationship type	Person Creating
Control	**Registered by**	Listed by Glenda Murrell, HTML edition Desley Soden
	Date registered	(Recorded in the database but not displayed in the HTML output)

Person

Identifier	DBRP503	
Title	Halse, The Most Reverend Sir Reginald Charles	
Start date	1881	
End date	9 August 1963	
Description	Educated St. Paul's School, London; Brasenose College, Oxford. B.A. 1905; M.A. 1907; Hon. D.D. 1947. Ho. of Sact. Kelham Theological College. Deaconed 1906; Priested 1907. Curate St. Saviour's Poplar 1906 – 1911; Priest in Charge St. Nicholas', Blackwell 1911 – 1912; Warden Bush Brotherhood of St. Barnabas, North Queensland and Exam. Chaplain to Bishop of North Queensland 1913 – 1925; Head Master All Souls' School Charters Towers 1920 – 1925; Canon of Townsville Cathedral 1921 – 1925. Consecrated Bishop of Riverina in Westminster Abbey on 29 September 1925 by Archbishop of Canterbury, Bishops of London, Sarum, Lichfield and others. Translated to Brisbane and enthroned at St. John's Cathedral on 3 November 1943. Received K.B.E. 1962. Interred in Cemetery at Sherwood, Brisbane	
Relationship	**Related Entity Identifier**	AHALS220 Records of the Office of Archbishop during the Episcopate of Reginald Charles Halse 1943 – 1962
	Relationship type	Series created
Control	**Registered by**	Listed by Glenda Murrell, HTML edition Desley Soden
	Date registered	(Recorded in the database but not displayed in the HTML output)

Series

Identifier	ALLOS004	
Title	Allora-Clifton Parish Records	
Series contents start date	1893	
Series contents end date	1990	
Quantity	55 items	
Physical characteristics and technical requirements	Records include registers, minute books, account books, and other historical items.	
Access status	Partially closed	
Relationship	**Related Entity Identifier**	DBRP003 – Allora-Clifton – Allora (1877 –)
	Relationship type	Agency creating
Control	**Registered by**	Listed by Glenda Murrell, HTML edition Desley Soden
	Date registered	(Recorded in the database but not displayed in the HTML output)
	Archivist's note	As there have been various places of worship within the parish, several provenances are linked to this series of records. The names of the creating sub-centre are listed as ALLORA-CLIFTON – (name of centre). Where records are not specified as being created by a parish sub-centre, they will be listed under the controlling provenance ALLORA-CLIFTON – ALLORA.

Item

Identifier	ALCL00026	
Title	Service Register	
Start date	7 June 1953	
End date	2 May 1965	
Physical characteristics and technical requirements	Register	
Access status	Partially closed	
Location	Box Number 3 Location Archive Room 1, Bay 11, EC, Shelf 3	
Relationship	**Related Entity Identifier**	DBRP003 – Allora-Clifton – Allora (1877 –)
	Relationship type	Agency Creating
Control	**Registered by**	Listed by Glenda Murrell, HTML edition Desley Soden
	Date registered	(Recorded in the database but not displayed in the HTML output)

Item

Identifier	ALCL00029	
Title	Service Register	
Start date	6 April 1913	
End date	11 November 1965	
Physical characteristics and technical requirements	Register	
Access status	Partially closed	
Location	Box Number 3 Location Archive Room 1, Bay 11, EC, Shelf 3	
Relationship	**Related Entity Identifier**	DBRP354 – Allora-Clifton – Spring Creek, St Matthew's (1874 – 1969)
	Relationship type	Agency Creating
Control	**Registered by**	Listed by Glenda Murrell, HTML edition Desley Soden
	Date registered	(Recorded in the database but not displayed in the HTML output)

Agency

Identifier	DBRP003	
Title	Allora-Clifton – Allora	
Start date	1877	
End date		
Description	1886 Year Book lists Allora as a Parish centre 1887 Year Book- Allora (St. David’s) with services at Spring Creek (St., Matthew’s) and Goomburra (St. John’s) 1889 Year Book – Allora (St. David’s) with Spring Creek (St., Matthew’s); Goomburra (St. John’s); Clifton (All Saints) 1892 Year Book – Allora (St. David’s 1877); [Spring Creek (St., Matthew’s 1874); Goomburra (St. John’s 1864); Clifton (All Saints 1890); Back Plains (St. Paul’s 1892) 1909 Year Book – Allora [Spring Creek; Goomburra; Glengallan (St. Andrew’s 1908)- Clifton and Back Plains to Clifton Parish 1926 Year Book – Add Hendon (no name] 1949 Year Book – Add Talgai West (no name) 1949 Year Book – Allora parish included the following centres – Allora (St. David’s); Spring Creek (St. Matthew’s); Goomburra (St. John’s); Glengallan (St. Andrew’s); Hendon (no name); Talgai West (no name) 1952 Year Book – Add Forest Springs (no name) 1962 Year Book – Hendon, Talgai West and Forest Springs not mentioned 1969 Year Book – Glengallan not mentioned 1970 Year Book – Spring Creek not mentioned 1982 Year Book – Named ALLORA (and) CLIFTON Parish with worship centres at Allora (St., David’s); Clifton (All Saints’); Goomburra (St. John’s)	
Relationship	**Related Entity Identifier**	ALLOS004 Allora-Clifton Parish records
	Relationship type	Series created

Relationship	**Related Entity Identifier**	DBRP004 – Allora-Clifton – Clifton, All Saints' (1890 –)
	Relationship type	Related Agency
Relationship	**Related Entity Identifier**	DBRP355 – Allora-Clifton – Glengallon, St Andrew's (1874 –)
	Relationship type	Related agency
Relationship	**Related Entity Identifier**	DBRP005 – Allora-Clifton – Goomburra, St. John's (1864 –)
	Relationship type	Related agency
Relationship	**Related Entity Identifier**	DBRP354 – Allora-Clifton – Spring Creek, St Matthew's (1874 – 1969)
	Relationship type	Related agency
Control	**References**	Diocesan Year Books
	Registered by	Listed by Glenda Murrell, HTML edition Desley Soden
	Date registered	(Recorded in the database but not displayed in the HTML output)

Agency

Identifier	DBRP354	
Title	Allora-Clifton – Spring Creek	
Start date	1874	
End date	1969	
Description	In 1866 an English gentleman named Charles Gillam came to the settlement of Spring Creek with his family. Immediately after erecting his new home he made it available for the holding of church services, and he was elected warden. In 1870 Mr Gillam removed the schoolroom from Allora to be used as a church and schoolroom at Spring Creek. In 1873 the then owner of Heading ton [sic] Hill Station gave to the church the present site. On 8th March 1876 the new church was dedicated and opened by the Bishop of Brisbane, Dr Hale. In 1926 the Spring Creek church was seriously twisted out of its position by a heavy thunderstorm and was entirely restored to its proper position. The 75th Jubilee was celebrated on Palm Sunday, 18th March 1951 by Archdeacon Glover. At a meeting on 19th September 1957 it was decided to erect memorial gates to the pioneering Gillam family. The Ven. Archdeacon Hoog conducted the dedication service on 26th April 1958 and blessed the gates and marble memorial tablets. Time moves on, and at a meeting on 26th September 1969 it was decided to close St Matthew's Spring Creek Church. The church was demolished by voluntary labour and the material sold at auction in 1972. The altar is now a side altar at St David's Church, Allora and the baptismal font is in the Allora museum. The gates at Spring Creek were left as a permanent reminder that the site was a place of worship for many years. In 1974 a bronze plaque was placed there bearing this message;- "This was the site of St Matthew's Church of England Spring Creek." Dedicated 1976. Closed 1969	
Relationship	**Related Entity Identifier**	ALLOS004 Allora-Clifton Parish records
	Relationship type	Series created

Relationship	**Related Entity Identifier**	DBRP003 – Allora-Clifton – Allora
	Relationship type	Related agency
Control	**References**	St David's Church Centenary 1888-1988 and History of the Anglican Church in Allora and District by Olive Shooter
	Registered by	Listed by Glenda Murrell, HTML edition Desley Soden
	Date registered	(Recorded in the database but not displayed in the HTML output)

3. Phillip Law

The descriptions relating to the records of Dr Phillip Law are taken from the online finding aid to his records held at the National Library of Australia, available at http://www.austehc.unimelb.edu.au/guides/lawp/LAWP.htm. (as at 24 June 2003). These records were processed by the Australian Science Archives Project/Australian Science and Technology Centre as eight accessions from 1988-2003 using the HDMS. As a result of the hypertext design of the online finding aid some of the element values in the following table may be implicitly rather than explicitly expressed on the individual pages.

Series

Identifier	18
Title	Nel Law
Series contents start date	1936
Series contents end date	1994
Quantity	66.8 cm, 14 items
Physical characteristics and technical requirements	Records include registers, minute books, account books, and other historical items.

Description	Correspondence (from P.G. Law to Nel, and condolences to P.G. Law), news clippings, handwritten notes, and diaries and notebooks on, about and by Nel Law, including copies of Department of External Affairs documents about Nel Law's visit to Antarctica in 1961; poems by Nel Law, artworks, and photographs. This series is held by P.G. Law.	
Relationship	**Related Entity Identifier**	Law, Phillip Garth (21 April 1912 –)
	Relationship type	Person creating
Relationship	**Related Entity Identifier**	Law, Nel (21 August 1914 – 29 April 1990)
	Relationship type	Person creating
Control	**Registered by**	Helen Morgan
	Date registered	(Recorded in the database but not displayed in the HTML output)

Item

Identifier	18/004	
Title	Diaries	
Start date	1968	
End date	1978	
Quantity	2.5 cm, 1 file (2 diaries)	
Description	Two small pocket diaries, titled "Nel Tokyo Hong Kong 1968", and "Nel Italy France Denmark Norway (Norway & Accident) 1978".	
Relationship	**Related Entity Identifier**	Law, Nel (21 August 1914 – 29 April 1990)
	Relationship type	Person Creating
Control	**Registered by**	Helen Morgan
	Date registered	(Recorded in the database but not displayed in the HTML output)

Item

Identifier	18/11	
Title	Condolences	
Start date	1990	
End date	1991	
Quantity	4 cm, 1 file	
Description	Letters and cards of condolence to P.G. Law, on the death of Nel Law.	
Relationship	**Related Entity Identifier**	Law, Phillip Garth (21 April 1912 –)
	Relationship type	Person Creating
Control	**Registered by**	Helen Morgan
	Date registered	(Recorded in the database but not displayed in the HTML output)

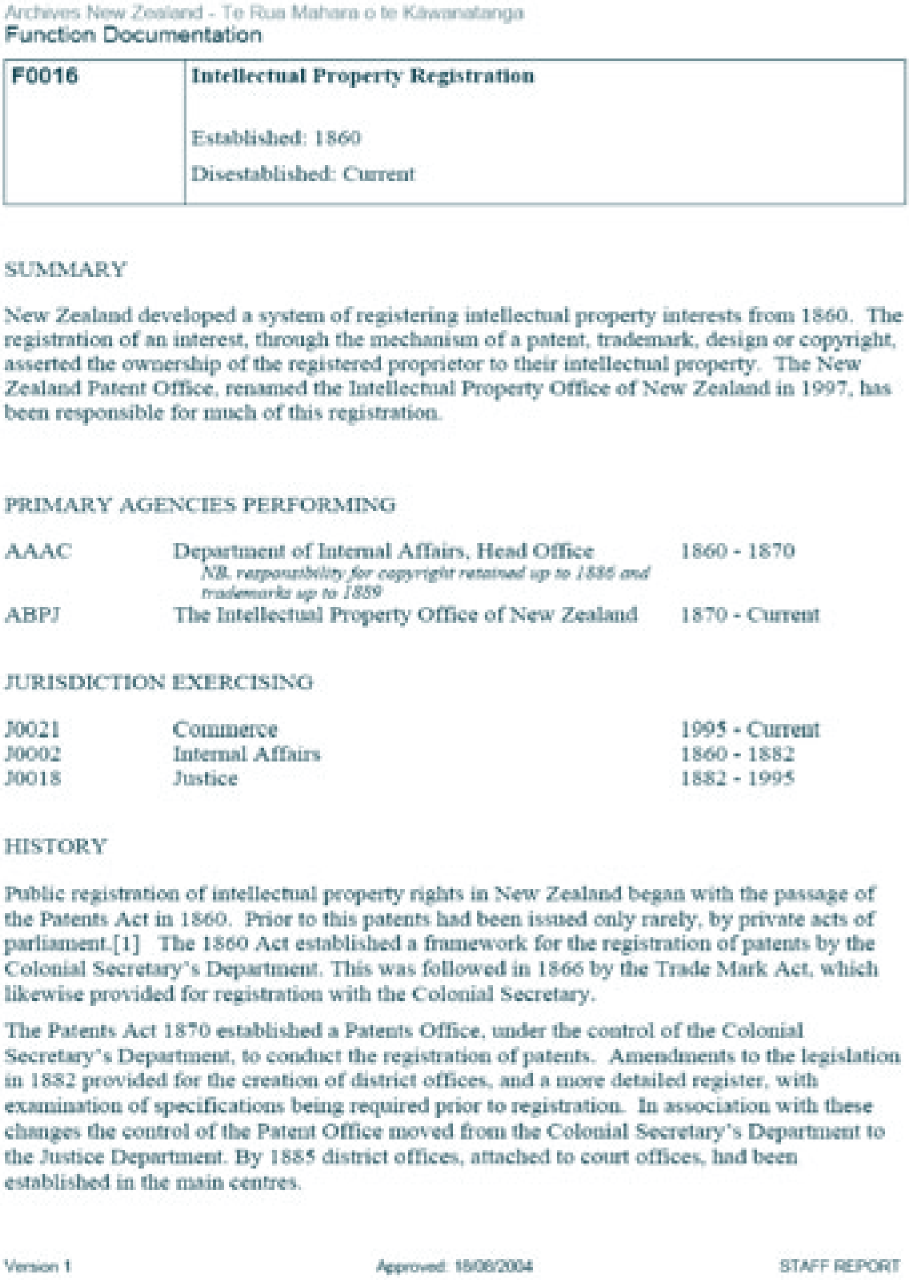
Person

Identifier	1
Title	Law, Phillip Garth, Dr, CBE, AO, AC
Start date	21 April 1912
End date	
Description	Dr Phillip Law is one of the more prominent and active members of the Australian scientific and academic community. As an Antarctic explorer, he is a member of an elite group which boasts names likes Scott, Amundsen, Ernest Shackleton, Douglas Mawson, Byrd, Edmund Hillary and Fuchs. Dr Law has amassed a rich and significant collection of papers chronicling his childhood, education, family, interests and remarkable career. This archival collection is unique in terms of its content and breadth particularly in relation to the development of post-war Australian exploration, the Antarctic, scientific pursuit and education.

Relationship	**Related Entity Identifiers**	Series 1 – Personal – Biographical Series 2 – Voyages Diaries Series 3 – Small Diaries and Pocket Diaries – Overseas Trips Series 4 – Lectures, Talks and Broadcasts Series 5 – Lectures and Talks – Indexed Sets Series 6 – Manuscripts for Books and Articles Series 7 – Antarctic Correspondence – Subject Files Series 8 – General Correspondence – Subject Files Series 9 – Photographs – Antarctic and ANARE Series 10 – Photographs – General and Law Family Series 11 – Photographs – Institutional Series 12 – Scrap Books and Scrap Book Material Series 13 – Audio Tapes Series 14 – Teaching Notebooks, Lecture Notes and Theses Series 15 – Video Tapes Series 16 – Antarctic and ANARE Miscellany Series 17 – Publications on Antarctica and Education by (and collected by) P.G. Law Series 18 – Nel Law Series 19 – Field Notes Made During Landings and Aircraft Flights Series 20 – Biography – Kathleen Ralston Series 21 – Cosmic Ray Records and Analyses, HMAS Wyatt Earp and MV Duntroon
	Relationship type	Series created
Relationship	**Related Entity Identifier**	Law, Nel (21 August 1914 – 29 April 1990)
	Relationship type	Wife
Control	**Registered by**	Helen Morgan
	Date registered	(Recorded in the database but not displayed in the HTML output)

Person

Identifier	2	
Title	Law, Nel	
Start date	21 August 1914	
End date	29 April 1990	
Description	Nel Law was married to P.G. Law, Antarctic explorer, scientist and educationalist. A talented artist, she was the first Australian woman to set foot on the Antarctic Continent, early in 1961.	
Relationship	**Related Entity Identifiers**	Series 18 – Nel Law
	Relationship type	Series created
Relationship	**Related Entity Identifier**	Law, Phillip Garth (21 April 1912 –)
	Relationship type	Husband
Control	**Registered by**	Helen Morgan
	Date registered	(Recorded in the database but not displayed in the HTML output)



Archives New Zealand - Te Rua Mahara o te Kāwanatanga
Function Documentation

F0016	**Intellectual Property Registration** Established: 1860 Disestablished: Current

SUMMARY

New Zealand developed a system of registering intellectual property interests from 1860. The registration of an interest, through the mechanism of a patent, trademark, design or copyright, asserted the ownership of the registered proprietor to their intellectual property. The New Zealand Patent Office, renamed the Intellectual Property Office of New Zealand in 1997, has been responsible for much of this registration.

PRIMARY AGENCIES PERFORMING

AAAC	Department of Internal Affairs, Head Office *NB. responsibility for copyright retained up to 1886 and trademarks up to 1889*	1860 - 1870
ABPJ	The Intellectual Property Office of New Zealand	1870 - Current

JURISDICTION EXERCISING

J0021	Commerce	1995 - Current
J0002	Internal Affairs	1860 - 1882
J0018	Justice	1882 - 1995

HISTORY

Public registration of intellectual property rights in New Zealand began with the passage of the Patents Act in 1860. Prior to this patents had been issued only rarely, by private acts of parliament.[1] The 1860 Act established a framework for the registration of patents by the Colonial Secretary's Department. This was followed in 1866 by the Trade Mark Act, which likewise provided for registration with the Colonial Secretary.

The Patents Act 1870 established a Patents Office, under the control of the Colonial Secretary's Department, to conduct the registration of patents. Amendments to the legislation in 1882 provided for the creation of district offices, and a more detailed register, with examination of specifications being required prior to registration. In association with these changes the control of the Patent Office moved from the Colonial Secretary's Department to the Justice Department. By 1885 district offices, attached to court offices, had been established in the main centres.

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APPENDIX 3

Series system implementations

The following archival programs have implemented the series system:

Government

National Archives of Australia – Commonwealth Record Series System (CRS System) – RecordSearch database http://naa.gov.au/the_collection/recordsearch.html (as at 22 June 2005).

Archives New Zealand – Archway system http://www.archway.archives.govt.nz (as at 22 June 2006).

Northern Territory Archives Service – control system

Public Record Office Victoria – control system http://www.prov.vic.gov.au/

Queensland State Archives – ArchivesSearch control system http://www.archives.qld.gov.au/search/default.asp (as at 22 June 2006).

State Records New South Wales – Control System (SRCS) – Archives Investigator http://investigator.records.nsw.gov.au/investigator.htm (as at 22 June 2006).

State Records South Australia – control system http://www.archives.sa.gov.au/archivesearch/index.html (as at 22 June 2006).

Archives of Ontario, Canada http://ao.minisisinc.com/addintro.htm (as at 22 June 2006).

City of Sydney Archives – Archives Investigator database http://www.cityofsydney.nsw.gov.au/investigator/ (as at 22 June 2006).

Non-government

Loreto College Normanhurst

Westpac Bank

South Australian Museum http://www.samuseum.sa.gov.au/page/default.asp?site=1&page=Archives_Collections (as at 22 June 2006).

University of Adelaide http://www.adelaide.edu.au/records/archives/guide/ (as at 22 June 2006).

Bethlem Royal Hospital Archives and Museum, London, United Kingdom http://www.bethlemheritage.org.uk/archcat.html (as at 22 June 2006).

Anglican Church of Australia Archdiocese of Queensland

Victoria University of Wellington Library (New Zealand), J.C. Beaglehole Room http://

www.vuw.ac.nz/library/collections/jcbr/collections.aspx (as at 22 June 2006).

Web portals and documentation programs

Australian Science and Technology Heritage Centre, University of Melbourne – Bright Sparcs portal http://www.asap.unimelb.edu.au/bsparcs/bsparcshome.htm (as at 22 June 2006).

Australian Trade Union Archives gateway http://www.atua.org.au/atua.htm (as at 22 June 2006).

Australian Women's Archives Project http://www.womenaustralia.info/register_home.htm (as at 22 June 2006).

Guide to Australian Business Records http://www.archivists.org.au/busrec

APPENDIX 4

Relationship to other standards and guidelines

Relationship of the series system to recordkeeping metadata

The elements that make up descriptions in the series system are sometimes described as recordkeeping metadata.

Recordkeeping metadata is also created by records creators, users and managers in the systems that capture and manage records. Archival control systems often inherit or reuse this metadata, with added contextual information, in their archival control systems.

Standards for recordkeeping metadata have been developed to codify the entities and data elements needed for identifying and managing records in both current and archival systems. One example is the Recordkeeping Metadata Schema (RKMS).

The diagram included in Chapter 4 of this guide has been incorporated as the conceptual model for recordkeeping metadata in ISO Standard 23081, *Metadata for Records –Part 1 – Principles*.

Within this guide, metadata that apply to specific levels of aggregation are described in detail: series are the records entity used in the series system. Organisations, agencies, families and persons are agent entities used in the series system. Functions and activities are business entities used in the series system.

The data elements for archival description outlined in this guide are consistent with the Australian Recordkeeping Metadata Schema (RKMS)[40] and the international standard ISO 23081, *Metadata for Records – Part 1, Principles*.

ISAD(G) and ISAAR (CPF)

The series system framework is compatible with the requirements of the descriptive standards, *General International Standard Archival Description*¸ ISAD(G)[41] and *International Standard Archival Authority Records – Corporations, Persons, Families*, ISAAR (CPF)[42], when these standards are used in combination. Although there are conceptual differences between these descriptive approaches, many of the metadata elements recommended in this guide to series system implementation map directly to the element requirements of the ISAD(G) and ISAAR standards. These relationships have been identified in Chapter 6: ‘Components of the series system – metadata elements’.

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[40] The RKMS was developed by the Australian Research Council-funded Monash University project 'Recordkeeping Metadata Standards for Managing and Accessing Information Resources in Networked Environments over time for Government. Commerce, Social and Cultural Purposes'. http://www.sims.monash.edu.au/research/rcrg/research/spirt/deliver/conrelmod.html (as t 22 June 2006).

[41] International Council on Archives, *General International Standard Archival Description*, ISAD(G), op cit

[42] International Council on Archives, *International Standard Archival Authority Records – Corporations, Persons, Families* (ISAAR CPF), op cit.

Encoded Archival Description (EAD) and Encoded Archival Context (EAC)

EAD is a model for standardising, encoding and structuring the archival description that exists in the form of archival finding aids so that it is accessible via the internet. EAD enables traditional finding aids such as registers, inventories, calendars and guides to be combined with web-based searching, retrieval, display and structuring strategies. EAD is compatible with ISAD(G).

EAC is an XML-based structured computer language for sharing descriptive data about archival provenance entities. EAC is based on ISAAR (CPF) and has been developed to represent and facilitate searching on the contextual information contained within or required to support EAD encoded finding aids.[43]

As with ISAD(G) and ISAAR (CPF), the series system framework is compatible with the requirements of the EAD and EAC when these standards are used in combination. The series system has a broader focus than EAD and EAC in that it is concerned with the description and management of records, not just with finding aids that provide access to records. There are significant compatibilities, however, between the series system and EAD and EAC, and, as has been outlined above, outputs from the series system can be generated in EAD and EAC-based communication formats.

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[43] Information about both EAD and EAC is accessible via the Library of Congress website at http://www.loc.gov/ead (as at 17 July 2003).

APPENDIX 5

Crosswalks to elements in other descriptive standards

This appendix shows how descriptive elements recommended for series system registrations cross reference to elements in international archival descriptive standards *ISAD(G): International Standard Archival Description (2nd ed., 2000) and ISAAR (CPF): International Standard Archival Authority Record for Corporate Bodies, Persons and Families (2nd ed., 2004).*

A comparison between series system descriptive elements and the ISAD(G) and ISAAR(CPF) descriptive elements needs to take into account differences in conceptual approach, purpose and system requirements. ISAD(G) and ISAAR(CPF) do not specify any system for implementing their recommended descriptive elements and, in fact, are primarily intended as standards for archival data sharing rather than for specific archival programs.

Converting ISAD(G) descriptions to the series system

Fonds	no direct equivalent – could be generated from series registrations
Sub-fonds	no equivalent

Series or sub-series

ISAD(G)	Series registration
IDENTITY STATEMENT AREA	
Reference code(s)	Identifier *[+ unique code for repository]*
Title	Title
Date(s)	Series creation date range Series contents date range
Level of description	*[Title of description, e.g. Series registration]*
Extent and medium of the unit of description (quantity, bulk or size)	Quantity
CONTEXT AREA	
Name of creator	*Link to agency/person/family creating [give unique identifier, name and dates of creation]*
Administrative / biographical history	*[See agency/person/family description]*
Archival history	

Immediate source of acquisition or transfer	*Link to agency/person/family transferring [give unique identifier, name and date of transfer]*
CONTENT AND STRUCTURE AREA	
Scope and content	Description
Appraisal, destruction and scheduling information	Disposal status and history
Accruals	Accruals
System of arrangement	System of arrangement
CONDITIONS OF ACCESS AND USE AREA	
Conditions governing access	Access status
Conditions governing reproduction	Copyright and reproduction
Language/scripts of material	Language
Physical characteristics and technical requirements	Physical characteristics and technical requirements
Finding aids	Finding aids
ALLIED MATERIALS AREA	
Existence and location of originals	Location
Existence and location of copies	Location of copies
Related units of description	Link to related series [give unique number, title and dates of relationship]
Publication note	
NOTES AREA	
Note	Description
DESCRIPTION CONTROL AREA	See Administration or control data
Archivist's note	Archivist's note
Rules or conventions	
Date(s) of description	Date registered

Converting series system descriptions to ISAD(G) descriptions

Series and item registration	ISAD(G) element
Identifier	3.1.1 Reference code(s)
Title	3.1.2 Title
Creation date range	3.1.3 Date(s)
Quantity	3.1.5 Extent of the unit of description
Contents date range	3.1.3 Date(s)
Function/subject descriptors	
Physical characteristics and technical requirements	3.4.4 Physical characteristics and technical requirements
Description	3.3.1 Scope and content
Disposal status and history	3.3.2 Appraisal, destruction and scheduling information
Accruals	3.3.3 Accruals
System of arrangement	3.3.4 System of arrangement
Range of control symbols	
Access status	3.4.1 Conditions governing access
Copyright and reproduction	3.4.2 Conditions governing reproduction
Language	3.4.3 Language/scripts of material
Finding aids	3.4.5 Finding aids
Location	3.5.1 Existence and location of originals
Location of copies	3.5.2 Existence and location of copies

Converting ISAAR(CPF) descriptions to the series system

ISAAR(CPF)	Agency registration	Person registration	Family registration
IDENTITY STATEMENT AREA			
Type of entity	*[Title of description, e.g. Agency registration]*	*[Title of description, e.g. Person registration]*	*[Title of description, e.g. Family registration]*
Authorised form(s) of name	Title	Title	Title
Parallel forms of name			
Standardised forms of names according to other rules			
Other forms of name			
Identifiers for corporate bodies	Identifier	Identifier	Identifier
DESCRIPTION AREA			
Dates of existence	Dates of existence	Dates of existence	Dates of existence
History	Description	Description	Description
Places	Location	Location	Location
Legal status			
Functions, occupations and activities	Function(s) performed	Description	Description
Mandates/Sources of authority	Mandate	Description	Description
Internal structures/ Genealogy	Description	Description	
General context			
RELATIONSHIPS AREA			

Names/Identifiers of related corporate bodies, persons, families	Organisation Previous/subsequent agency Controlled/ controlling agency Related agency Related persons	Family belonging Related organisation/agency	Persons belonging
Category of relationship			
Description of relationship			
Dates of the relationship			
CONTROL AREA	Administration or control data	Administration or control data	Administration or control data
Authority record identifier	Identifier	Identifier	Identifier
Institutional identifier	Registered by	Registered by	Registered by
Rules and/or conventions			
Status	Registration status	Registration status	Registration status
Level of detail			
Date(s) of creation, revision or deletion	Date registered	Date registered	Date registered
Languages and scripts			
Sources	Sources used	Sources used	Sources used
Maintenance notes	Archivist's note	Archivist's note	Archivist's note

Converting series system descriptions to ISAAR(CPF) descriptions

Agency/person/family registration	ISAAR(CPF) element
Identifier	5.4.1 Authority record identifer
Title	5.1.2 Authorized form(s) of name
Dates of existence	5.2.1 Dates of existence
Mandate	5.2.6 Mandates/Sources of authority
Location	5.2.3 Places
Description	5.2.2. History
Functions performed	5.2.5 Functions, occupations and activities
Series created/controlled	6.1 Identifiers and titles of related resources

APPENDIX 6

Collecting Archives and the Australian Series System[44]

Over the past 40 years most of Australia's public records institutions have adopted Peter Scott's 'series system', as have a number of organisational in-house archival programs. Archival programs dealing with complex administrative change environments are naturally attracted to the 'series system'. For the most part, however, collecting archives have stuck resolutely to the record group approach. What is known internationally as the 'Australian System' is by no means universally deployed in Australia. Why is this?

Arguably, one reason is that collecting archivists have had nowhere to turn for an authoritative and user-friendly guide to implementing the system. The standard Australian archival textbook *Keeping Archives* [1st edition, 1987 and 2nd edition, 1993] is quite deficient in its presentation of practical advice on how to implement the series system. The National Archives *CRS [Commonwealth Record Series] Manual* is overwhelmingly complex and intimidating for the average collecting archivist. In any case it is only a manual for a single implementation of the system – there are many other equally valid approaches to implementing the series system that the CRS Manual naturally enough does not cover. While there is a wealth of theoretical writing about the system in the archival literature, there is an absence of practical guidance about how to implement it in a small to medium sized archival program.

This Guide

In this particular guide, it is the aim of the Australian Society of Archivists Descriptive Standards Committee to facilitate implementation of the series system in any archival setting including collecting archives. The Committee does not, however, expect that the publication of the guide will prompt collecting archives around the country to immediately make plans to abandon the Record Group in favour of the "Relationships System". Changing one's intellectual control system, especially one that has been in use for decades, is a major undertaking – it is not a decision to be taken lightly. Even today, 40 years after Scott's breakthrough, there are groups of 'unserialised' records in the control of the National Archives.

Implementing the series system, which is usually more complex and labour intensive than the simple record group system, comes at a premium – a premium that many resource strapped collecting archives may find difficult to sustain. Even if the great majority of collecting archivists were to come to the view that provenance is indeed more complex than the record group approach would suggest, sometimes it is simpler and cheaper to run a system that makes compromises and simplifies this reality as an expedience.

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[44] Edited version of an article published in *Limited Addition: Newsletter of the Collecting Archives Special Interest Group of the Australian Society of Archivists*, January 2004.

My colleagues and I on the ASA Committee understand these realities, but we would prefer such decisions to be made for the right practical reasons and not as a result of a denial of the complex reality of provenance.

Collecting archives and multiple provenance

Let me make a confession. I worked in collecting archives for 15 years. For many of those years I thought that provenance in private records was nearly always a simple one-to-one affair. I don't think that any more. When I started to think deeply about the records I was arranging and describing I realised how I had fooled myself into thinking the world was simple. I recall the moment when I first started to have my doubts. I was appraising the records of William McBride (of Thalidomide and scientific fraud fame) at the Sydney offices of his research organisation Foundation 41. When decanting the records into cartons for transportation to the National Library I was disturbed to see McBride making on the spot decisions about provenance for valuation purposes. As we decanted McBride divided the records into two groups – one being his 'personal' records and the other being the records of Foundation 41. Yet it was totally apparent to me that he was destroying the organic integrity of the records series that had been so carefully maintained.

Was it really possible to decide with such haste and certainty which records had which provenance? I mulled over this for some weeks and concluded that, while legally separate entities, the provenance entities of William McBride and Foundation 41 were so closely related that they were jointly responsible for the creation of the same records. I had discovered multiple provenance! No doubt the records are still split asunder at the National Library in separate record group descriptions. It would have been far better for their original order to have been maintained and for their complex provenance to be documented through separate but linked descriptions of the two responsible entities.

Since then I have realised that multiple provenance is everywhere in collecting archives. Look at family papers, including the papers of husbands and wives. Look at the various roles that different individuals play in organisations. Are the records that I create as Chair of the ASA Descriptive Standards Committee or as an employee of the National Archives of Australia my records or organisational records? Sometimes there are legal answers to these questions, sometimes there are not – but what is the point of trying to deny my personal role in the creation of the records? In the papers of Eddie Mabo there is a series of records relating to the Black Community School in Townsville, which he ran. Are these the records of Eddie Mabo or the records of the Black Community School? Why bother trying to decide on just one, when it is clear that they are the records of both? It is this type of complex reality that is better documented by the series system than by the record group system.

Don't get hung up on the 'series'

As I have already said, the use of series descriptions is not really a defining feature of the so-called "series system" – it may sound heretical to say so, but there is nothing sacrosanct about the series in the system. Australians did not invent the series – archivists all over the world created series descriptions for decades before Peter Scott was even thought of.

According to the ASA's guide it is entirely possible to implement Scott's system without creating series descriptions – quite apart from any other consideration, if you don't have a series why would anyone bother to create a series description, for example in the case of a single shipboard immigrant diary? Records do not always survive as series – indeed some are not even created as part of a series, although they almost always are in one form or another, depending on one's perspective. Ultimately, series are artificial archival constructs – they are not a reality in the way that the Sydney Habour Bridge is a reality. They are useful constructs, but they are not totally essential constructs – there are other artificially constructed ways of describing records and if you prefer one of these you are still able to use Scott's system, providing of course you separate your descriptions of records from your descriptions of related context entities.

It has been argued that the concept of series is often rather more loosely applied in collecting archives than in government archives. Having seen the identification and description of series up close and personal in government archives I would not be so confident about this assumed lack of looseness in the application of the concept to public records. In all archival programs the identification of series is a largely subjective and perspective-laden process. This is not worth agonising over, although it is worth recognising. Series are in the eye of the beholder and always will be – this is not, however, a reason, for abandoning series descriptions in whatever system you use, be it the Record Group or the "Relationships System". Series descriptions are useful ways of creating aggregate descriptions of groups of records that have some organic connection with each other, be it a numbering/filing system or a link to a particular function, place or activity. There are few, if any, scientific absolutes when it comes to the practical business of identifying series.

The Networking imperative

While the business case for implementing Scott's system in an established collecting archive may often be difficult to sustain, there is one phenomenon that could in time tip the scales in its favour – that is the growth of archival data sharing via the Internet. All collecting archives know that records get dispersed. Papers created by Sir Joseph Banks are all over the world. The life of Banks is well documented and there is little point in each of the hundreds of archives and libraries that hold Banks material devoting time and effort to creating detailed biographical notes in the context of their record group inventories. With networked databases it is possible not only to link all of the descriptions of the dispersed Banks papers together, they can also all be linked to an authoritative biographical source on the great scientist – this in fact is Scott's system at work.

So, if the desire to reflect more accurately the complex reality of provenance is not enough to convince you to adopt the series system, think instead about the place your collections occupy within the wider cosmos and the infinite number of relationships (both within and beyond the world of archives) that can be utilised in the interconnected world of cyberspace.

While it is true that archivists still have a lot to learn about how to design intuitive user interfaces to these complex realities, the adoption of the more flexible data model developed by Scott gives us an infinity of interface design options, as opposed to the single flat, linear and essentially paper-based interface that is the traditional record group type finding aid. In time this work will be further facilitated by the spread of Encoded Archival Context (EAC).[45] Indeed, the development of EAC and its conceptual counterpart, the ICA's *International Standard Archival Authority Record (Corporate Bodies, Persons, Families)* – ISAAR (CPF), and their implementation in various European collecting archives data sharing projects shows that the rest of the world is finally catching on to the innovations Peter Scott devised all those years ago. [46] I would encourage Australian collecting archivists to give close consideration to doing likewise. If you want to see some local applications of what is possible with this approach to networking just visit the Bright Sparcs website on the history of Australian science or the Australian Prime Ministers Papers portal.

Adrian Cunningham
Convenor, ASA Descriptive Standards Committee

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[45] For further information on EAC, see Appendix 4: 'Relationship to other standards and guidelines'.

[46] For further information on ISAAR(CPF), see Appendix 4: 'Relationship to other standards and guidelines'.

APPENDIX 7

Further reading

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